

STATE OF UTAH
OFFICE OF THE LIEUTENANT GOVERNOR



SPENCER J. COX
LIEUTENANT GOVERNOR

August 17, 2018

Brian Newby, Executive Director
U.S. Election Assistance Commission
1335 East-West Highway, Suite 4300
Silver Spring, MD 20910

Dear Mr. Newby:

The State of Utah plans to utilize the 2018 HAVA Elections Security Grant Funds and matching funds for the following priorities:

- Purchase new voting equipment.
- Replace the state's voter registration database (VISTA).
- Implement additional security measures and training for both the counties and the state.

The State has requested all available HAVA funds (\$4,111,052) immediately. In 2018 the State received a legislative appropriation for upgrading election equipment and infrastructure, which will be used to provide the required matching funds of \$205,553. The following narrative describes the State of Utah's plan for the \$4,316,605 total HAVA Election Security Grant Award.

Timeline

Before December 31, 2018:

- Counties may request reimbursement for the purchase of new voting equipment. Note that many counties are already in the process of purchasing new equipment.
- Improvements and security upgrades will be made to the statewide voter registration database.
- A first round of enhanced security protocols and training for county and state election staff will be implemented.

Before December 31, 2020:

- All counties will be required to have requested reimbursement for voting equipment replacement.
- Additional security measures and trainings for county and state election staff will be in place.

Before December 31, 2022:

- Upgrades to Utah's state voter registration database will be complete.

Voting Equipment Replacement and Upgrades (\$1,394,447)

The State of Utah last purchased new voting equipment for each county in 2005, using a HAVA grant and state funds. Acknowledging the age of the equipment and the changing election model in Utah, in 2016 the Lieutenant Governor, the chief election official in Utah, convened a Voting Equipment Selection Committee (VESC) to make recommendations for new voting equipment for the state of Utah. In 2017 the VESC sought proposals from voting system vendors for a statewide replacement of voting equipment. A preferred vendor was selected and a contract signed in October of 2017.

The statewide contract is a cooperative agreement which permits counties to take advantage of the state negotiated price for equipment, maintenance, service, and peripherals, while permitting them the leeway to choose the quantity and type of equipment needed for their jurisdiction. This new equipment will have security features that the old equipment did not have, such as paper ballots.

When the contract was signed it was with the understanding that funding for the new equipment would come primarily from the counties. Many counties were unable to immediately purchase new equipment due to lack of funding, so the state has chosen to put \$1,394,447 in HAVA funds toward reimbursing counties for the purchase of this new equipment.

Each qualifying county will be allocated \$25,000 for the base cost of purchasing new voting equipment. After subtracting the funds used for the base cost, the remaining funds will be allocated according to a formula averaging each county's active voters and the total number of votes cast in the 2016 General Election. A county may not use these funds to purchase voting equipment from a vendor other than the preferred vendor. This ideally will keep Utah's counties on the same voting system, streamlining any modification or updates needed for the statewide voter registration system.

Equipment purchases and associated fees (licensing, service, maintenance, etc.) will be reimbursed by the State at cost with HAVA funds until December 31, 2020. If a county does not use all of its allocated funds on or before this date, the county's remaining funds may be distributed to other eligible counties. The Lieutenant Governor's Office may enter into an agreement with a county to extend this deadline if extenuating circumstances exist. A county

may elect to use its one-time funding to pay for qualifying ongoing voting equipment costs, including licensing and maintenance, or for electronic poll books that are approved by the State.

It is anticipated that at least 20 of Utah's 29 counties will purchase new voting equipment in 2018, and request reimbursement using the formula described above. Additional counties will likely purchase equipment in subsequent years, before the deadline of December 31, 2020.

Voting Registration Systems and Management (\$2,305,553)

Utah's statewide voter registration database was first created in 2004 as a dot net system. The outdated system needs to be replaced, either through a total rewrite or the purchase of a new system to work effectively in the current security environment. Upgrades that will be made include increased security, data and reporting improvements, and increased ease-of-use. State and local election officials have established a steering committee to determine the exact upgrades and improvements that need to be made, to include multi-factor authentication, auditing and logging. These improvements will be made by December 31, 2022.

The amount of \$2,305,553 to be allocated to the voter registration system includes \$205,553 in State matching funds and \$2.1 million in HAVA funds.

Enhanced Security (\$600,000)

The State of Utah is already providing enhanced digital monitoring and scanning services to secure election systems, and establishing protocols for a statewide coordinated cyber response in case of an incident. The State is proposing \$600,000 in HAVA funds to be used before December 31, 2020 to assist in this effort, and for the development and implementation of security training. Participants in these trainings would include county clerks, county IT staff, the state, and other appropriate persons or parties. This may include table-top training exercises, the development of an incident management plan, conferences, trainings, and expert lectures. In addition, the State will assist counties with physical security and facility assessments, and required upgrades as a result of these assessments.

Post-Election Audits (\$16,605)

The State of Utah will develop more robust auditing procedures based on the new equipment. This may include research, attendance at conferences for auditing best practices, personnel time, and a more robust audit pilot with one county in Utah during the 2019 municipal election.

Sincerely,

A handwritten signature in black ink, appearing to read "Spencer J. Cox", with a stylized flourish at the end.

Spencer J. Cox
Lieutenant Governor
State of Utah

2018 HAVA ELECTION SECURITY GRANT

Budget Information	CFDA # 90.404	Non-Construction Program
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Name of Organization:	Utah Lieutenant Governor's Office	
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Budget Period Start:	3/23/2018	SECTION A - BUDGET SUMMARY	
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Budget Period End:	12/31/2022	FEDERAL & NON-FEDERAL FUNDS (Match)	(Consolidated Budget for total project term-- up to 5 years as defined by grantee)
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BUDGET CATEGORIES	PROGRAM CATEGORIES							TOTALS	% Fed Total
	(a) Voting Equipment	(b) Election Auditing	(c) Voter Registration Systems	(d) Cyber Security	(e) Communications	(f) Other	(g) Other		
1. PERSONNEL (including fringe)								\$ -	0%
2. EQUIPMENT								\$ -	0%
3. SUBGRANTS- to local voting jurisdictions	\$ 1,394,447.00							\$ 1,394,447.00	34%
4. TRAINING								\$ -	0%
5. ALL OTHER COSTS		\$ 16,605.00	\$ 2,100,000.00	\$ 600,000.00				\$ 2,716,605.00	66%
6. TOTAL DIRECT COSTS (1-6)	\$ 1,394,447.00	\$ 16,605.00	\$ 2,100,000.00	\$ 600,000.00	\$ -	\$ -	\$ -	\$ 4,111,052.00	
7. INDIRECT COSTS (if applied)		\$ -						\$ -	0%
8. Total Federal Budget	\$ 1,394,447.00	\$ 16,605.00	\$ 2,100,000.00	\$ 600,000.00	\$ -	\$ -	\$ -	\$ 4,111,052.00	
11. Non-Federal Match			\$ 205,553.00					\$ 205,553.00	
12. Total Program Budget	\$ 1,394,447.00	\$ 16,605.00	\$ 2,305,553.00	\$ 600,000.00	\$ -	\$ -	\$ -	\$ 4,316,605.00	
13. Percentage By Category	34%	0%	51%	15%	0%	0%	0%		

Proposed State Match	5.0%
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A. Do you have an Indirect Cost Rate Agreement approved by the Federal government or some other non-federal entity?
If yes, please provide the following information:

B. Period Covered by the Indirect Cost Rate Agreement (mm/dd/yyyy-mm/dd/yyyy):

C. Approving Federal agency:

D. If other than Federal agency, please specify:

E. The Indirect Cost Rate is: